



## Federal Trade Commission

E-Filing System Manual

Filer's Guide



# Federal Trade Commission E-Filing System



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# Federal Trade Commission E-Filing System



## Introduction

### ***Terms and Conditions***

The information contained in this document describes the use of the FTC E-Filing System for an electronic filing of documents pertaining to part 3 proceedings.

*The E-Filing system may be used to file public, in camera, or confidential information with the Commission. All public information you place in any of the fields in a filing -- and all public information in every attachment to a filing -- constitutes a public filing before the Commission; will become part of the public records of the Commission; and will be placed on the publicly accessible Commission Web site. The FTC Act and other laws administered by the Commission permit the collection of public filings to consider and use in this proceeding as appropriate. More information, including other routine uses permitted by the Privacy Act, may be found in the FTC's privacy policy, at <http://www.ftc.gov/ftc/privacy.htm>.*

*Information labeled "In Camera" or "Confidential" must include as an attachment either a motion requesting in camera or other confidential treatment, in the form prescribed by §3.45, or a copy of a Commission, Administrative Law Judge, or federal court order granting such treatment. The document must also include as a separate attachment a set of only those pages of the document on which the in camera or otherwise confidential material appears and comply with all other requirements of §3.45 and any other applicable rules governing in camera treatment.*

## About the FTC E-Filing System

### ***How do I access the E-Filing System?***

The URL for the FTC E-Filing System is <https://fctefile.gov>.

This website uses STTPS/SSL encryption. You should disable popup blockers for this website.

In order to use the E-Filing system you must be a registered account holder. You will be prompted to read a disclaimer. If you are an authorized user please read and click "OK". If you are not an authorized user, please click on "OK" and close your browser window (e.g. Image 1a).

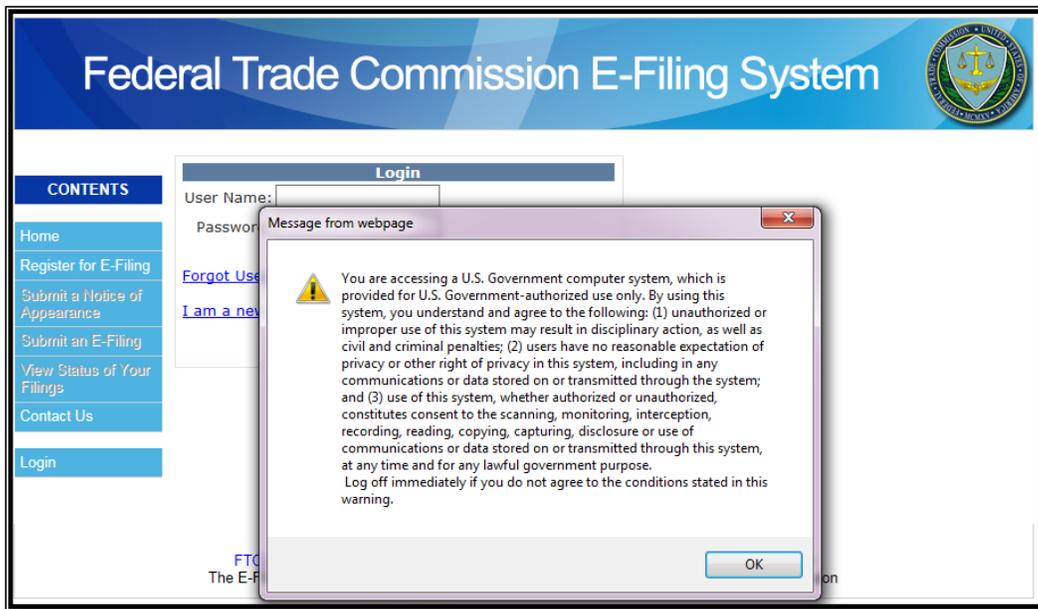


Image 1a

# Federal Trade Commission E-Filing System



## *What are the system requirements?*

The FTC E-Filing system requires that you will need an Internet Connected computer with a web browser, preferably with Microsoft Internet Explorer version 7.0 and above.

## *Will I be provided login information?*

The FTC does not create user accounts. It is the responsibility of a user to create an E-Filing account in order to successfully submit part 3 proceeding documents.

## *How do I create a new account?*

As a new user you can click on the “Register for E-Filing” link located at the left navigation bar of the welcome page. This link is also provided at the bottom of the welcome page (e.g. Image 1b).

**Federal Trade Commission E-Filing System**

**Welcome to the FTC E-Filing System**

Please read the following information carefully before **submitting** any E-Filing:

**PRIVACY ACT STATEMENT:** The FTC Act, the Federal Information Security Management Act, and other applicable laws, regulations, and policies authorize us to collect and maintain registration and login data, system logs, and other system records or data, for administrative and system security purposes and to receive and manage electronic filings in FTC adjudicative proceedings conducted under the FTC's Rules of Practice. We may use your registration and other system data to conduct audits, determine and control system access, monitor system performance, and to detect, investigate, or refer unauthorized system activity for law enforcement or other action. Your electronic filings, except for any nonpublic portions, will be made part of the public record of the FTC proceeding in which they were filed and will be posted on the FTC web site. For a full list of routine uses for any personal information we collect from or about you through this system, please see applicable system of records notices for computer user identification and access records and for public and nonpublic program records on our FTC Web site, <https://www.ftc.gov/about-ftc/foia/foia-reading-rooms/privacy-act-systems>. Use of this system is voluntary, but you will not be granted system access or be able to submit electronic filings through this system if you do not provide the requested registration or login information.

**Announcements**

No announcements at this time.

[FAQ](#) | [Help](#) | [Desk Aid](#) | [Version 2.1.3.STAGE92](#)  
[FTC.gov](#) | [Accessibility](#) | [Privacy Policy](#) | [Related Sites](#) | [USA.gov](#) | [FTC Rules of Practice](#)  
The E-Filing System is operated by ICF International on behalf of the Federal Trade Commission

Image 1b (Home Page)

To register for an E-Filing account a user is required to enter the following information:

**NOTE:** Required fields are shown with an asterisk (\*); unless otherwise specified you may enter up to 100 characters per field.

# Federal Trade Commission E-Filing System



- **First Name:\*** Enter your legal first name. Each user account must be registered only to an individual person
- **Last Name:\*** Enter your legal last name. Each user account must be registered only to an individual person
- **Name of Law Firm or Employer:\*** Enter the full legal name of your law firm. If you are in-house counsel, specify the full legal name of your employer. If you are representing yourself, enter your full legal name. *Note: If your law firm or employer changes, you will be required to re-register.*
  - **NOTE:** If in-house counsel, indicate employer. If representing yourself, indicate your full legal name.
- **Phone Number:\*** Enter the phone number where you can be contacted. An extension is optional.
- **Fax Number:** Enter the Fax number where you can be contacted. Entry of a FAX number is optional.
- **E-mail Address:\*** Enter an e-mail address where you can be contacted. This e-mail address will be used by the E-Filing System to notify you of status updates and in case of a forgotten password. Please ensure that this address can receive e-mail and that it does not block SPAM messages from the ftc-e-filing.com or ftc.gov domains.
- **Confirmation of Email Address:\*** Re-enter your e-mail address. You will not be allowed to register unless both entries of E-Mail addresses match.
- **Requested User Name:\*** Select a user name, to be used to login to the E-Filing System. User Names must be between 8 and 16 characters.
  - **NOTE:** User Name must be between 8 to 16 characters. This User Name will be used for future login to the E-Filing System.
- **Password:\*** Enter a password to be used to login to the E-Filing System. Passwords must be between 12 and 16 characters and must contain at least 3 of the following:
  - Uppercase letters (A-Z)
  - Lowercase letters (a-z)
  - Numbers (1-9, 0)
  - Symbols – You may use any of the following:
    - ! Exclamation
    - “ Quote
    - # Hash
    - \$ Dollar
    - % Percent
    - & Ampersand
    - ‘ Apostrophe
    - ( Left Parenthesis
    - ) Right Parenthesis
    - \* Asterisk
    - + Plus
    - , Comma
    - Hyphen
    - . Period
    - / Slash
    - : Colon
    - ; Semicolon
    - < Less Than
    - = Equals
    - > Greater Than
    - ? Question
    - @ At
    - [ Left Bracket
    - \ Backslash

# Federal Trade Commission E-Filing System



- ] Right Bracket
- ^ Caret
- \_ Underline
- ` Back Apostrophe
- { Left Brace
- | Pipe
- } Right Brace
- ~ Tilde

- **NOTE:** Password must be between 12 and 16 characters; 3 of the 4 must be used: uppercase alphabetic, lowercase alphabetic, numeric, symbols.
- **Confirmation of Password:\*** Re-enter your chosen password. You will not be allowed to register unless both entries of password match.

### FTC E-Filing Registration Form

Registration Form (\* denotes required field)

First Name.* <input type="text"/>	
Last Name.* <input type="text"/>	
Title: <input type="text"/>	
Name of Law Firm or Employer.* <input type="text"/>	If Internal Counsel, indicate employer. If self, indicate your full legal name.
Phone Number.* <input type="text"/> - Ext. <input type="text"/>	
<small>If you have a fax number, please provide:</small> Fax Number: <input type="text"/>	Phone and Fax should have format like: 111-111-1111
E-Mail Address.* <input type="text"/>	
Confirm E-Mail Address.* <input type="text"/>	
Alternate E-Mail Address: <input type="text"/>	
Requested User Name.* <input type="text"/>	User Name must be between 8 to 16 characters. This User Name will be used for future login to the E-Filing System.
Password.* <input type="text"/>	Password must be between 12 and 16 characters. 3 of the 4 following must be used: uppercase alphabetic, lowercase alphabetic, numeric, symbols (click <a href="#">here</a> for examples)
Confirm Password.* <input type="text"/>	

The information in this box will be used to verify your identity in cases of a forgotten password. You may select any three (3) questions to answer. If you answer more than three questions, only the first three answered will be used. Select those questions that you feel most comfortable answering and for which you can most easily remember the answers.

All answers are case sensitive.

What was your first pet's name?	<input type="text"/>
What street did you live on when you were eight years old?	<input type="text"/>
What is the first name of your childhood best friend?	<input type="text"/>
In what city did your mother and father meet?	<input type="text"/>
What was the name of the first band or singer that you saw in concert?	<input type="text"/>
In what town was your first job?	<input type="text"/>
What was the first name of your first college roommate?	<input type="text"/>
What was the first name of your senior prom date?	<input type="text"/>
What was the make and model of your first car?	<input type="text"/>
What was the last name of your first grade teacher?	<input type="text"/>

All users are required to agree and sign this Rules of Behavior policy prior to being granted Registered User access. [Click here](#) to view and sign Rules of Behavior form.

By clicking "Accept", you certify that the above information is correct and that you want to register with the FTC E-Filing System. [Click here for Privacy Policy and Terms of Service.](#)

Image 1c (Filer Registration Form)

# Federal Trade Commission E-Filing System



In case you forget your user name or password, the E-Filing System offers an automated user name/password system. The registration page will list 10 security questions; you must select **three** to answer. In case of a forgotten user name or password, the E-Filing system will ask you to respond to these three questions.

When filling out the registration form, select the questions that you feel most comfortable answering, that you feel you will best remember the answers, and for which the answers are unlikely to change. Your responses are case sensitive, so make sure to remember what case you've used (e.g., "Paris" is not the same as "paris").

All users are required to agree and sign the Rules of Behavior (ROB) policy prior to being granted registered user access. Please use the "Click here" link to view the ROB form (e.g. image 1c), complete the required fields and click submit (e.g. image 1d).

The image shows a screenshot of a web form titled "Rules of Behavior for public users of E-Filing Systems". The form contains several sections with bullet points of rules. At the bottom, there is a checkbox for agreement, a text field for initials, and a "Submit" button.

**Rules of Behavior for public users of E-Filing Systems**

The following 'Rules of Behavior' apply to all public users of FTC E-Filing Systems:

**System Access**

- I will use E-Filing systems only for authorized purposes.

**Passwords and Other Access Control Measures**

- I will protect passwords from disclosure.
- I will promptly change a password whenever the compromise of that password is known or suspected.
- I will not attempt to bypass access control measures.

**Data Protection**

- I will not access, process, or store non-public Information that has not been authorized for such processing.
- I will abide by the privacy and use restrictions of E-Filing systems protecting confidential, sensitive, or personal information (examples may include non-work contact information, medical record, trade secrets, etc.) from disclosure.

**Incident Reporting**

- I will promptly report any suspected information security compromise or problem to the E-Filing systems Help Desk 703-934-3515.

**Accountability**

- I understand that I will be held accountable for my actions while accessing and using FTC E-Filing systems.

Please [Click Here](#) to download the Rules of Behavior template.

By clicking on the checkbox you are acknowledging that you have read, understand, and agree to abide by the rules of behavior for this system and the information stored herein.

Please enter your initials:

Image 1d (Rules of Behavior)

Once the required information is complete, please read the agreement text on the Registration form page and select either "Accept" or "Cancel" button.

The following actions will result in clicking on either of these buttons:

# Federal Trade Commission E-Filing System



1. Clicking on Accept will validate that you have entered the required information. If so, your account will be created and you will be presented with a confirmation screen. If there are any issues with the registration, the system will provide you a description of the error and give you an opportunity to make corrections.
2. Clicking on Cancel will cancel your registration. As this will erase what you have entered into the form, you will be prompted to confirm.

## ***How do I update account information?***

You can log into your account and click on the “Update User Account Information” button on the left navigation bar. The system will navigate you to the registration page with the original registration information pre-populated. You may then update the information and click on Accept.

## ***How do I Login?***

In order to log into the E-Filing system you may click on the Login Button in the left navigation bar. You may also click the appropriate button located at the left navigation bar (e.g. clicking the “Submit a Notice of Appearance” button will allow you to login and gain access to that particular module. Image 2 below shows the login page). **Once you have logged into the system, you can access any of the following modules without the need to log into the system for each module.**

- Submit a Notice of Appearance
- Submit an E-Filing
- Update User Account Information
- Docket Sheet
- Logout

**NOTE 1:** If you are an existing user and you have changed Law Firms or Employers, you must re-register as a new user

**NOTE 2:** Your account will be disabled after 120 days of inactivity in the system. To reactivate your account please contact the Help Desk (E-mail: [ftcefilesupport@icfi.com](mailto:ftcefilesupport@icfi.com) or call: 703-934-3515).

The screenshot shows a login interface with a blue header bar containing the word "Login". Below the header are two input fields: "User Name:" and "Password:". Underneath the password field are two blue hyperlinks: "Forgot User Name/Password?" and "I am a new user and need to register". A "Login" button is centered below these links. At the bottom of the form, there is a section titled "Please read the following information carefully before submitting any E-Filing:" followed by a "PRIVACY ACT STATEMENT" paragraph. The statement explains that the FTC collects and maintains registration and login data for administrative and security purposes, and that electronic filings will be part of the public record. It includes a link to the FTC's privacy act systems page: <https://www.ftc.gov/about-ftc/foia/foia-reading-rooms/privacy-act-systems>.

Image 2 (Login Screen)

## ***How do I Log Out?***

Once logged in, you may leave the system at any point of time by clicking the logout button listed towards the bottom of the left navigation bar.

**NOTE:** Please save any information prior to logging out, failure to do so may result losing the unsaved information. Also please note that once you are logged into the system, the logout button is visible throughout the system. Once you have logged out, please proceed to close the browser window.

## ***Will I be Logged Out due to system inactivity?***

Yes, if the E-Filing system is left idle for more than 20 minutes due to security reasons it will automatically log you out. Any unsaved information will be lost.

## ***What if I forget my User Name?***

At the login screen, click on the "Forgot User Name/Password" link (e.g. Image 2), the system will navigate you to a "Reset user Name/Password" screen (E.g. Image 3). The following actions will result:

- In the case you forgotten your username then you have the option to enter the email address used to register the e-filing account and then proceed to click on the "Next" button. An email will be sent to your email address containing a link to reset your password. Click on that link. The link will have a "Select User" field. That is your username. Proceed to reset your password.

# Federal Trade Commission E-Filing System



- If you do not remember the user name and the email address used to register the account, you should click on the “Click here for further assistance” button. You will be provided the option to call the E-Filing help desk at (703) 934-3515 for further assistance.

A screenshot of a web form titled "Reset User Name/Password". The form has a blue header bar with the title. Below the header, there is a paragraph of instructions: "Please enter your User Name or E-mail Address. Click 'Next >>' to answer your security question to complete the password reset." Below this is a text input field with the label "Enter User Name or E-mail Address:" and a "Next >>" button. At the bottom of the form, there is a link: "Unable to locate User Name or E-mail, [Click here for further assistance.](#)"

Image 3 (Reset Password)

## *What if I forget my Password?*

At the login screen, click on the “*Forgot User Name/Password*” link. You must then enter your User Name or your Email. The system will send you an email with a link. That link will navigate you to a “Reset user Name/Password” screen as depicted in image 4a.

(**NOTE:** For security reasons the reset password link in the email will expire in 24 hours. After 24 hours you must click the “*Forgot User Name/Password*” link again and receive another email).

The system will request you answer the security questions answered when you registered for the e-filing account (e.g. Image 4a).

Once you have completed answering the security questions, please click on “Submit Answer” button.

(**NOTE:** Please remember that the response/answer is case sensitive).

The following actions will result upon clicking the submit button:

1. If the ANSWERS ARE CORRECT then you will be taken to the Change Password screen and allowed enter your new password twice to reset it.
2. If the INCORRECT ANSWER is submitted **three** times then the account is locked and you will be required to call the E-Filing Help desk at (703) 934-3515 to have the account unlocked.

**NOTE:** If your account is locked, using the reset password process will unlock your account and allow you to log in.



**Security Answers**

Please provide the correct answers to your security questions and then click "Submit Answer". If you do not know the answer to your security question, [click here](#) for further assistance. A correct response to all the questions will enable you to reset your password.

User Name: akhantest

Question: What is the first name of your childhood best friend?  
Answer:  Your response is case sensitive.

Question: What street did you live on when you were eight years old?  
Answer:  Your response is case sensitive.

Question: What was your first pet's name?  
Answer:  Your response is case sensitive.

Image 4a (Reset Password – Security Questions)

### ***Where can I Find the Frequently Asked Questions (FAQs)?***

The link to the FAQs can be found on the top right corner of each page of the website (e.g. Image 4b). You may scroll down the page to search for the desired Q & A or use the "Go to" links on the top of the page to access the appropriate topic area.

### ***Can I print a copy of the Frequently Asked Questions (FAQ's)?***

The link to the printer friendly FAQs can be located in the top right corner of the FAQ page. Clicking the "here" link will launch Adobe Acrobat/reader and open a pdf version of the FAQ page. Once open, you will have the option to save a copy of the FAQs on your computer or use the print feature within Adobe Acrobat/Reader to print a paper copy.

NOTE: You must have Adobe Acrobat/Reader to be able to view the printer friendly FAQs. Adobe Reader is a free tool that can be downloaded at <http://www.adobe.com>.



Frequently Asked Questions		Click <a href="#">here</a> for printer friendly version
<b>CONTENTS</b>		
Home	Go To: <a href="#">About E-Filing</a>   <a href="#">Submit a Filing</a>   <a href="#">System Rules</a>   <a href="#">Account Issues</a>   <a href="#">Status Notifications</a>   <a href="#">Contact Us</a>	
Submit a Notice of Appearance	<b>About E-Filing</b>	
Submit an E-Filing	<b>Q. What is E-Filing?</b>	
Update User Account Information	Electronic Filing (E-Filing) refers to the electronic filing of notices of appearance, pleadings, and other documents in Part 3 adjudicative proceedings before an Administrative Law Judge or before the full Commission through the FTC E-Filing System.	
Contact Us	<a href="#">Return to Top</a>	
Docket Sheet	<b>Q. What are the benefits of E-Filing?</b>	
Logout	For filers, E-Filing is free, convenient, fast, secure, and the most accurate way to submit documents and to serve public documents to complaint counsel and respondent's counsel electronically. E-Filing also reduces paper, printing, and delivery costs - making it environmentally friendly.	
	<a href="#">Return to Top</a>	
	<b>Q. Is the E-Filing system available 24 hours a day, 7 days a week?</b>	
	The E-Filing system is available 24 hours a day, except when the system undergoes maintenance. System maintenance will be announced in advance on the E-Filing homepage.	
	<a href="#">Return to Top</a>	
	<b>Q. How will I know if the E-Filing system is not available?</b>	
	If the E-Filing system is unavailable, the FTC will post this information in the announcements section on the <a href="http://www.ftcefile.gov">www.ftcefile.gov</a> home page. Otherwise the E-Filing system will be available 24 hours a day.	
	<a href="#">Return to Top</a>	
	<b>Q. What type of browsers can I use with the E-Filing system?</b>	
	The FTC E-Filing system supports Microsoft Internet Explorer (ver. 7.0 to 10.0) and Mozilla Firefox (ver. 2 and 3).	
	<a href="#">Return to Top</a>	
	<b>Q. How will new features and/or enhancements in the E-Filing system affect pending cases?</b>	

Image 4b (FAQs)

## ***Where do I go once I have logged in?***

If you want to participate in a Part 3 proceeding, you must submit a Notice of Appearance prior to submitting a filing. To do so, click the “To submit a new Notice of Appearance click here” link provided in the page.

If you are a returning user, you will see previously saved and pending Notices of Appearances, if any were submitted during a previous session.

## ***How do I submit a new Notice of Appearance?***

After clicking on the “Submit a new Notice of Appearance” link located in the left navigation bar, you are navigated to a form which shows you the following fields:

- Docket Number and Case Name

**NOTE:** If you are unable to see a Docket Number and Case Name you will be unable to submit a Notice of Appearance. Please check in the system periodically as it may not be entered yet.



## Federal Trade Commission E-Filing System

**CONTENTS**

Home

Submit a Notice of Appearance

Submit an E-Filing

Update User Account Information

Contact Us

Docket Sheet

**Logout**

### Notice of Appearance

---

File/Docket Number and Case Name:\*

---

Pursuant to Section 4.1 of the Commission's Rules of Practice, I (we) am (are) entering in the above proceeding the appearance of:

counsel supporting the complaint (Complete items 1, 3, 4, and 5 below)

counsel or representative for the respondent (Complete items 1, 2, 4, and 5 below)

counsel or representative for a third party (Complete items 1, 2, 4, and 5 below)

---

<p><b>1. COUNSEL OR REPRESENTATIVE</b></p> <p>(Include the name, address, email address, and telephone number of each counsel or representative entering an appearance in the above proceeding.)</p> <p style="text-align: center;"><input type="button" value="Add"/></p>	<p><b>2. RESPONDENTS/THIRD PARTY</b></p> <p>(Include the address and telephone numbers of all persons, partnerships, corporations, or associations on whose behalf this Notice of Appearance is being filed.)</p> <p style="text-align: center;"><input type="button" value="Add"/></p>
--	---

---

3. Associate/Assistant Director

4. Name of Senior Counsel       5. Date Signed

---

6. Additional email addresses that would copied on electronic notifications (this is for email notifications only and these email addresses will not be added to the Attorneys of Record):

---

7. Verify good standing with the bar. Please enter the correct license number next to the corresponding name below and a good standing with the bar PDF will be generated for each of the attorneys. To preview the PDF, click on the "Preview the Statement of Good Standing with the Bar" button. All information can be edited in the Counsel or Representative section.

No attorneys entered in the Counsel or Representative section.

[Preview the Statement of Good Standing with the Bar](#)

Pursuant to 4.1(d) of the Rules of Practice: *any attorney desiring to appear before the Commission or an Administrative Law Judge on behalf of a person or party shall file with the Secretary of the Commission a written notice of appearance, stating the basis for eligibility under this section and including the attorney's jurisdiction of admission/qualification, attorney identification number, if applicable, and a statement by the appearing attorney attesting to his/her good standing within the legal profession. By entering your information, you attest that you are in good standing within the legal profession.*

---

        **Please print the NOA form upon submission**

Image 5 (Notice of Appearance Sample)

# Federal Trade Commission E-Filing System



Pursuant to section 4.1 of the commission's rule of practice, you are required to select whether you are entering the proceeding requesting appearance of:

- counsel/representative for the respondent
- counsel supporting the complaint.
- counsel or representative for a third party

**You may select one option only.**

It is required that you select one of following choices and complete the information pertaining to them:

**1. Counsel or representative for the respondent**

- Counsel or Representative
  - Enter *Name*
  - Enter *Title*
  - Enter *E-mail Address*
  - Select *E-Notification Preference*
  - Enter *Law Firm/Company*
  - Enter *Address*
  - Enter *Telephone Number*
- Respondents
  - Enter *Name*
  - Enter *Title*
  - Enter *E-mail Address*
  - Enter *Law Firm/Company*
  - Enter *Address*
  - Enter *Telephone Number*
- Enter *Name of Senior Counsel*
- Enter *Date Signed* by clicking the calendar icon
- Enter *Additional Email Addresses that would be copied on electronic notifications*

**OR**

**2. Counsel supporting the complaint**

- Counsel or Representative
  - Enter *Name*
  - Enter *Title*
  - Enter *E-mail Address*
  - Select *E-Notification Preference*
  - Enter *Law Firm/Company*
  - Enter *Address*
  - Enter *Telephone Number*
- Enter *Associate/Assistant Director*
- Enter *Name of Senior Counsel*
- Enter *Date Signed* by clicking the calendar icon
- Enter *Additional Email Addresses that would be copied on electronic notifications*

**OR**

**3. Counsel or representative for a third party**

- Counsel or Representative
  - Enter *Name*

# Federal Trade Commission E-Filing System



- Enter *Title*
- Enter *E-mail Address*
- Enter *Law Firm/Company*
- Enter *Address*
- Enter *Telephone Number*
- Respondents/Third Party
  - Enter *Name*
  - Enter *Title*
  - Enter *E-mail Address*
  - Enter *Law Firm/Company*
  - Enter *Address*
  - Enter *Telephone Number*
- Enter *Name of Senior Counsel*
- Enter *Date Signed* by clicking the calendar icon
- Enter *Additional Email Addresses that would be copied on electronic notifications*

## What are E-Notifications?

Electronic Notifications (E-Notifications) enable Attorneys of Record to opt-in to receive E-Notifications of documents filed via the E-Filing system. For all public filings, a link to the document will be included in the E-Notification. E-Notifications about *in camera* or confidential documents will not include a link. Counsel or representatives for a third party cannot opt-in to receive E-Notifications.

## What will the Additional Email Address that I enter under item number 6 receive from E-Filing?

The purpose of this section is to enter email addresses that are not associated with filer accounts in E-Filing, but will still receive Notices of Electronic Filings for filings via email from within E-Filing. Additional email addresses will not be able to access the courtesy copy link that directs them to the E-Filing System.

## Will the attorneys I add in the Counsel/Representative section be added to the Attorneys of Record?

The attorneys supporting the complaint and respondent counsel that are listed in the Counsel/Representative section will be added to the Attorneys of Record. The attorneys for a third party listed in the Counsel/Representative section will not be added to the Attorneys of Record, but will still be able to submit filings for that docket. For additional information on the Attorneys of Record please go to the [Attorneys of Record Information](#) section.

## Can I add multiple Counsel/Representative OR Respondents?

Yes, you may add multiple Counsel/Representative and Respondents into a Notice of Appearance; you may do so by clicking on the "Add" button (shown in image 5) which will navigate you to the screen shown in Image 6.



## Notice of Appearance

First Name *	Last Name *	Title	E-Mail	E-Notifications **	
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="button" value="Remove"/>

(More than one page may print to accommodate all names entered.)

\*\* Check the box to indicate whether the attorney in each row would like to receive PUBLIC courtesy copies and Notices of Electronic Service for PUBLIC and NON-PUBLIC documents. Attorneys will need to have an E-Filing account. If they do not have one, they will be required to register before viewing the document.

Law Firm/Company:  \*

Address 1:  \*

Address 2:

City:  \* State:  Zip Code:  \*

Phone Number:  \* NNN-NNN-NNNN

Fax Number:  NNN-NNN-NNNN

\* Indicates required field

(Image 6 (Add Counsel/Representative/Respondents to NOA))

You may enter the following information:

- First Name: Enter your legal First Name
- Last name: Enter your legal Last Name
- Title (if applicable):
- E-Mail Address
- E-Notifications preference (if Counsel/Respondent counsel for the complaint or respondent)
- Law Firm/Company: Enter the full legal name of your law firm or company
- Address 1: Enter the address including apartment/suite number
- Address 2: Additional address information (if required)
- City: Enter the name of the city for the address
- State: Select the state of the address from the drop down list
- Zip Code: Enter the 5 digit zip code for the address
- Phone Number: Enter the phone number where you can be contacted
- Fax Number: Enter the fax number where you can be contacted

Once you have entered the information please click on the “Add” button.

Finally, you must click the “Save” button to submit your Counsel/Representative and Respondents into a Notice of Appearance.

# Federal Trade Commission E-Filing System



**NOTE:** If you click cancel, you will be returned to the notice of appearance page.

## Can I delete a Counsel/Representative OR Respondent?

Yes, once a Counsel/Representative or Respondent is added, you have the option to delete the entry (E.g. Image 7). Clicking on the Remove button will prompt you to confirm the deletion. Select “Yes” to confirm deletion or “No” to keep entry.

First Name *	Last Name *	Title	E-Mail	E-Notifications **	
John	Smith	Attorney	jsmith@test.com	<input checked="" type="checkbox"/>	<input type="button" value="Remove"/>

Image 7 (Added Counsel/Representative/Respondents to NOA)

## Can I edit a Counsel/Representative OR Respondent?

Yes, once a Counsel/Representative OR Respondent is added, you have the option to edit the entry (E.g. Image 7). Clicking on the edit button will navigate you to a similar screen as depicted in image 6. Edit your entry and select “Add” to confirm your edits or “Cancel” to keep the current counsel/representative or respondent information.

## Can I generate the Statement of Good Standing and append it to the Notice of Appearance?

Yes. The final section on the form will allow you to auto-generate a certification that the attorney(s) listed in the Notice of Appearance are in good standing. All attorneys listed in the Counsel/Representative section (E.g. Image 7) will populate in the Good Standing section (E.g. Image 8) with corresponding license number and license state fields. Clicking on the “Preview the Statement of Good Standing with the Bar” link will generate a PDF preview of all the certificates (E.g. Image 9). Upon submission of the Notice of Appearance all of the Good Standing PDFs will be appended to the NOA.

**(NOTE:** You must check the box in section 7 in order to submit the Notice of Appearance).

7. Verify good standing with the bar. Please enter the correct license number next to the corresponding name below and a good standing with the bar PDF will be generated for each of the attorneys. To preview the PDF, click on the "Preview the Statement of Good Standing with the Bar" button. All information can be edited in the Counsel or Representative section.

Name	License Number	License State
<input type="text" value="John Smith"/>	<input type="text" value="12345"/>	<input type="text" value="DC"/>

[Preview the Statement of Good Standing with the Bar](#)

Pursuant to 4.1(d) of the Rules of Practice: *any attorney desiring to appear before the Commission or an Administrative Law Judge on behalf of a person or party shall file with the Secretary of the Commission a written notice of appearance, stating the basis for eligibility under this section and including the attorney's jurisdiction of admission/qualification, attorney identification number, if applicable, and a statement by the appearing attorney attesting to his/her good standing within the legal profession.* By entering your information, you attest that you are in good standing within the legal profession.

Image 8 (Verify Good Standing with the Bar)



UNITED STATES OF AMERICA  
BEFORE THE FEDERAL TRADE COMMISSION

In the Matter of  
Demo of Phase II

Docket No. D11111

**STATEMENT OF GOOD STANDING PURSUANT TO 16 C.F.R. § 4.1**

In connection with the Notice of Appearance filed on February 08, 2016, and pursuant to 16 C.F.R. § 4.1 (d), I state that I am eligible to practice before the Commission as a member of the Bar of the District of Columbia (Bar No. 12345). As requested by 16 C.F.R. § 4.1 (d), I further state that I am a member of good standing within the legal profession.

John Smith  
Firm Name  
Address 1  
Address 2  
City, DC 22222  
Telephone: 222-222-2222  
Fax: 111-111-1111  
Email: jsmith@test.com

Image 9 (Good Standing Preview)

### What if I have to amend my submitted Notice of Appearance?

The FTC E-Filing System does not allow a submitted Notice of Appearance to be amended. It is recommended that you complete a new Notice of Appearance and submit it using same Docket Number and Case Name and contact the Document Processing Section (Contact Information can be found by clicking the “Contact Us” link located in the left navigation bar).

### Can I save my session and continue later?

Yes, you may fill out information and click on the “Save for later completion/submission” button, this will allow you to click on the “Select” link for the File/Docket Number and return the Notice of Appearance. (E.g. Image 10)

## Notice of Appearance

---

You have the following Pending Submission(s). Click on the Docket Number to retrieve it.

	File/Docket Number	Matter Name
<a href="#">Select</a>	D09342	The Dun & Bradstreet Corporation
<a href="#">Select</a>	D09343	The North Carolina Board of Dental Examiners

To submit a new NOA, [click here](#)

Image 10 (NOA Pending Submission)



## How many Notices of Appearances can I save and submit?

You may save and submit multiple notices of appearance for a given Docket Number and Case Name.

## Will I be given a confirmation number upon submission?

Yes, you will be provided a confirmation screen upon a successful submission of a Notice of Appearance, please make a note of the submission number. If you have a printer, you may click on the “click here for a printable version” link for a printer friendly version of the confirmation page to keep a paper copy for your personal records (e.g. Image 11).

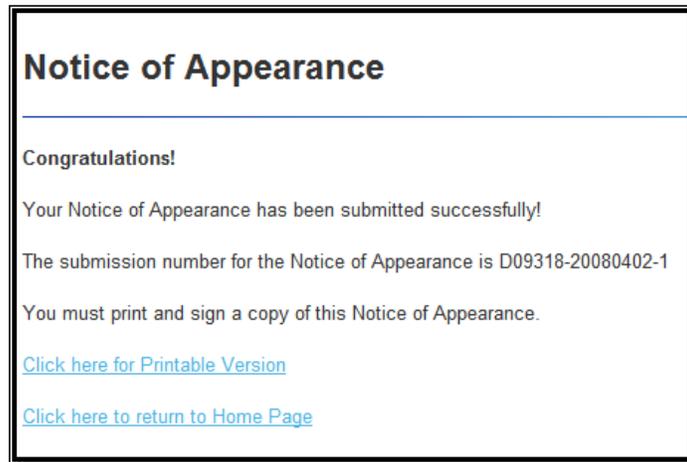


Image 11 (Confirmation Notice)

To Print a printable copy of the submitted Notice of Appearance, click on the “Click here for Printable Version” link. This will open up a pdf copy of the submission. (E.g. Image 12).

To go back to the home page you may click on the “click here to return to home page” link and the system will navigate you there.

# Federal Trade Commission E-Filing System



FEDERAL TRADE COMMISSION  
WASHINGTON, DC 20580

**NOTICE OF APPEARANCE**

CASE NAME  
FTC EFile Demo

FILE/DOCKET NUMBER  
D09999

Pursuant to Section 4.1 of the Commission's Rules of Practice, I (we) am (are) entering in the above proceeding the appearance of

counsel supporting the complaint (Complete Items 1, 3, 4, and 5 below)

counsel or representative for the respondent (Complete Items 1, 2, 4, and 5 below)

counsel or representative for a third party (Complete Items 1, 2, 4, and 5 below)

1. COUNSEL OR REPRESENTATIVE	2. RESPONDENT(S) OR THIRD PARTY(IES)
Include the name, address, email address, and telephone number of each counsel or representative entering an appearance in the above proceeding. Asad Khan Joe Nasser ICF International 6500 Lee Hwy Fairfax, VA 22031 Phone: 703-924-3000 Fax Number: 703-924-5404	Include the address and telephone numbers of all persons, partnerships, corporations, or associations on whose behalf this Notice of Appearance is being filed. Jill Brown Jim Smith ABC Company 123 Main Street Ashburn, VA 22343 Phone: 454-454-4543

3. ASSOCIATE/ASSISTANT DIRECTOR

---

4. SIGNATURE OF SENIOR COUNSEL  
(Bernita Lofty)

5. DATE SIGNED  
9/7/2011

Return this form to: Federal Trade Commission  
Room H-113  
600 Pennsylvania Avenue, N.W.  
Washington, D. C. 20580

FTC Form 232 (rev 7/11)

Image 12 (Printable Notice of Appearance)

## Submit a new Public Filing

**NOTE:** To submit a Filing you are required to submit a Notice of Appearance for the docket in which you wish to participate. If you have not previously submitted an NOA for a particular docket the system will not allow you to submit an E-Filing for that docket.

- To submit a filing click on “Submit Public Filing” (e.g. Image 13) in the corresponding matter’s row.

### Submit an E-Filing

---

Select a proceeding:

Docket Number	Matter Name	Public Filings	Non-Public Filings
D09342	The Dun & Bradstreet Corporation	<a href="#">Submit Public Filing</a>	<a href="#">Submit Non-Public Filing</a>
D09343	The North Carolina Board of Dental Examiners	<a href="#">Submit Public Filing</a>	Non-Public Filing Not Permitted
D09344	POM Wonderful LLC, et al	<a href="#">Submit Public Filing</a>	Non-Public Filing Not Permitted
D09345	Laboratory Corporation of America	<a href="#">Submit Public Filing</a>	Non-Public Filing Not Permitted

Image 13 (Select Proceeding for Filing)

# Federal Trade Commission E-Filing System



You may enter a title (this is for your own reference) and click the browse button. The browse button will allow you to select the location of the file you wish to upload. Locate the file and click open (e.g. Image 15) followed by clicking add (e.g. Image 14). Please note that more than one document for a particular E-Filing can be added.

Please limit each file name to less than 128 characters. Each file must be no larger than 150MB. No more than 150MB may be uploaded in a single submission. If you have files larger than 150MB or need to submit more than 150MB in a single submission, please contact the Help desk (E-mail: [fcfilesupport@icfi.com](mailto:fcfilesupport@icfi.com) or call: 703-934-3515) for further instructions.

**NOTE:** Please read the following information carefully before submitting a public E-Filing:

Every page of each attachment to this filing must be clearly and accurately labeled "Public". Rule 4.2(c)(2). For public filings, redactions of *in camera* or confidential material must be effected by completely deleting the *in camera* or otherwise confidential material from the attachment before it is attached to this filing. Simply masking the *in camera* or otherwise confidential material -- through the use, for example, of a white type font -- will not be accepted.

## ATTENTION: Public Filing Page

### Submit a Public E-Filing (\*denotes required field)

Title of Submission:  
This title is for your own reference

To add a document, click "Browse", select the file, and click "Add".

File:

Please limit each file name to less than 128 characters. Some special characters may be removed from the file name upon saving. Each file can be up to 150MB, but no more than 150MB may be uploaded in a single submission. If you have files larger than 150MB, or need to submit more than 150MB in a single submission, click "Help" for guidance.

Please read the following information carefully before submitting a public E-filing:

The first page shall clearly show the file or docket number and title of the action in connection with which they are filed. Every page of each such document shall be clearly and accurately labeled "Public" per Rule 4.2(b). If the attachment has been converted into a public document by redacting *in camera* or otherwise confidential material, those redactions must be effected by completely deleting the *in camera* or otherwise confidential material from the attachment before it is attached to this filing. Simply masking the *in camera* or otherwise confidential material -- through the use, for example, of a white type font -- will not be accepted.

Documents included in this submission:

Document Details

If your submission includes exhibits that are not in electronic format, please call 703-934-3515 for further guidance.

Image 14

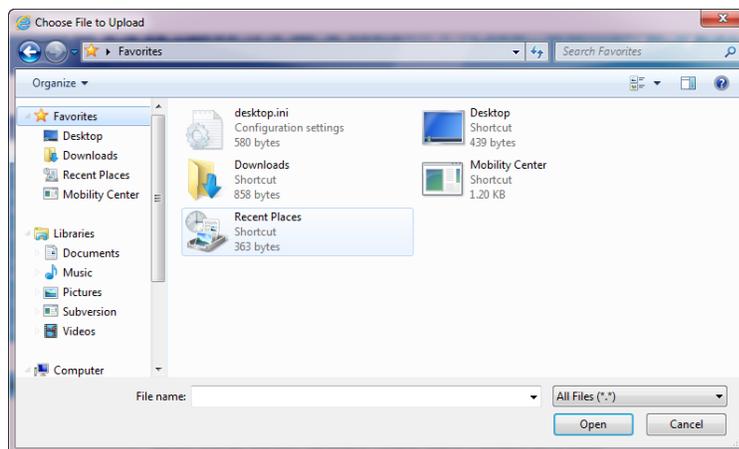


Image 15

Once the file has been uploaded you may navigate towards the bottom of the screen and provide the following information (e.g. shown in Image 16).

- Enter *Document Title*
- Select *Document Type* (Select one of the following options from the drop down list provided :)
  - ALJ SUBPOENA REQUESTED BY COMPLAINT COUNSEL
  - ALJ SUBPOENA REQUESTED BY RESPONDENT
  - COMMISSION INTERLOCUTORY ORDERS AFTER INITIAL DECISION
  - COMMISSION INTERLOCUTORY ORDERS BEFORE INITIAL DECISION
  - COMPLAINT COUNSEL BRIEFS AND OTHER FILINGS BEFORE THE COMMISSION AFTER THE INITIAL DECISION
  - COMPLAINT COUNSEL FILINGS AFTER FINAL ORDER
  - COMPLAINT COUNSEL MOTIONS, BRIEFS, PROPOSED FINDING, AND OTHER FILINGS BEFORE THE ALJ
  - COMPLAINT COUNSEL NOTICE OF APPEAL
  - CORRESPONDENCE AND OTHER PART 3 DOCUMENTS
  - DISCOVERY AND OTHER INFORMATION REQUESTS [PART 3]

# Federal Trade Commission E-Filing System



- INTERVIEW REPORTS/ AFFIDAVITS/ DECLARATIONS/ TRANSCRIPTS (DEPOSITIONS)/ EXHIBITS [PART 3]
- JOINT MOTIONS TO WITHDRAW FROM ADJUDICATION
- MOTIONS, BRIEFS, AND PROPOSED FINDINGS [PART 3]
- OTHER JOINT MOTIONS BEFORE THE ALJ
- REQUEST TO REOPEN AND MODIFY ORDERS [PART 3]
- RESPONDENT BRIEFS AND OTHER FILINGS BEFORE THE COMMISSION AFTER THE INITIAL DECISION
- RESPONDENT FILINGS AFTER FINAL ORDER (INCLUDING PETITIONS FOR RECONSIDERATION)
- RESPONDENT MOTIONS, BRIEFS, PROPOSED FINDING, AND OTHER FILINGS BEFORE THE ALJ
- RESPONDENT NOTICE OF APPEAL
- RESPONDENTS' ANSWERS [PART 3]
- TRIAL EXHIBITS
- TRIAL TRANSCRIPTS
- NOA

- Select *Does this document contain non-public information?* (Select one of the following options from the drop down list provided):
  - Yes
  - No

**NOTE:** If you select “Yes” then the screen shown in Image 17 pops up informing you that the attached file may not contain non-public information.

- Select *Does this submission include physical exhibits?* (Select one of the following options from the drop down list provided):
  - Yes
  - No
- The system also gives you the option of removing the document and attaching a new one. This can be done by clicking on the “Remove” button.

# Federal Trade Commission E-Filing System



**ATTENTION: Public Filing Page**

**Submit a Public E-Filing (\*denotes required field)**

Title of Submission:  
This title is for your own reference

Document Title

To add a document, click "Browse", select the file, and click "Add".

File:

Please limit each file name to less than 128 characters. Some special characters may be removed from the file name upon saving. Each file can be up to 150MB, but no more than 150MB may be uploaded in a single submission. If you have files larger than 150MB, or need to submit more than 150MB in a single submission, click "Help" for guidance.

Please read the following information carefully before submitting a public E-filing:

The first page shall clearly show the file or docket number and title of the action in connection with which they are filed. Every page of each such document shall be clearly and accurately labeled "Public" per Rule 4.2(b). If the attachment has been converted into a public document by redacting *in camera* or otherwise confidential material, those redactions must be effected by completely deleting the *in camera* or otherwise confidential material from the attachment before it is attached to this filing. Simply masking the *in camera* or otherwise confidential material – through the use, for example, of a white type font – will not be accepted.

Documents included in this submission:

Document Details	
Filename*: RulesofBehavior-NonPublicUsers.pdf	
Document Title*:	<input type="text"/>
Document Type*:	<input type="text"/> <a href="#">Remove</a>
Does this document contain Non-Public Information?*	<input checked="" type="checkbox"/>
Does this submission include physical exhibits?*	<input checked="" type="checkbox"/>

If your submission includes exhibits that are not in electronic format, please call 703-934-3515 for further guidance.

Figure 14 (Upload Filing Document)

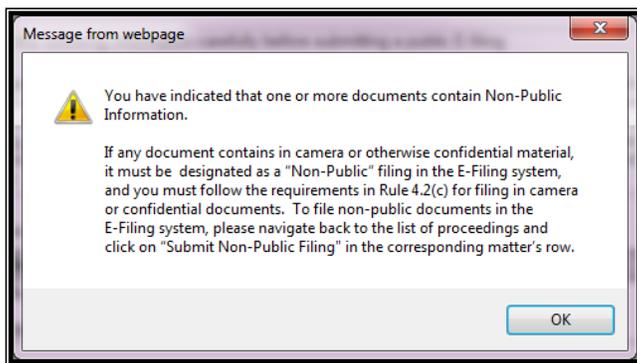


Figure 15 (Non-Public Alert)

Click on the "Next >" button to move on to the Notice of Electronic Service for Public Filings (e.g. shown in Image 18)

## What is the Notice of Electronic Service for Public Filings?

The Notice of Electronic Service generates a PDF document, similar to the Certificate of Service, listing who was served via the E-Filing system as well as outside of the system.

The following information is provided in the Notice of Electronic Service:

- **Administrative Law Judge and Office of the Secretary**
  - The first table shows that a copy of the document will be filed electronically (through the E-Filing system) with the Administrative Law Judge and the Office of the Secretary
- **Attorneys who opted-in to E-Notifications**
  - The second table shows that a copy of the document will be served electronically to the Attorneys of Record who opted-in to E-Notifications

# Federal Trade Commission E-Filing System



- **Attorneys who opted-out of E-Notifications**
  - The third table shows a list of the Attorneys of Record who opted-out of E-Notifications
  - In order to add these attorneys to the Notice of Electronic Service, you must check the checkbox in the corresponding row of the attorney you agree to serve outside of the system
- **Manually adding people to the Notice of Electronic Service**
  - The fourth table allows you to add any additional people who you agree to serve this document by other means, as provided in Rule 4.4(b). This is not a required field
  - You may add as many extra attorneys as you wish by clicking on the “Add a Name” button below the fourth table
- **Previewing the Notice of Electronic Service**
  - The link labeled *Preview the Notice of Electronic Service* will generate a PDF preview of the Notice of Electronic Service using the information seen in the above tables (e.g. shown in Image 19). If you wish to check/uncheck some of the attorneys from the third table or add/remove attorneys from the fourth table, then pressing on the “preview” link will update the document with the new information
- **Appending the Notice of Electronic Service PDF**
  - Below the preview link is the question *Do you want to append this Notice of Electronic Service to the e-filing?* with the options of *Yes* and *No* in the dropdown selector. If you choose the option *Yes*, then upon successful submission of the filing the Notice of Electronic Service will be appended to the end of your PDF document. If you choose the option *No*, then the Notice of Electronic Service will not be appended and the selected information will only act as the information within the courtesy copy email
  - Information from the Notice of Electronic Service will still be accessible to the Records and Filings Office of the FTC
- **Additional Email Addresses to be Copied on E-Notifications**
  - The final table within the page displays the email addresses that will receive a notification that this filing has been submitted. These email addresses will not be able to access the filed document, but only receive the courtesy copy email as a notice of submission
- **Verifying that you are the submitter of the document**
  - The final step on the page is to verify that you are the person named as the submitter for this document and that all the above information regarding who is being served and in what way they are being served is correct. Once the box is checked the *Next* button will become active
  - You will not be able to move on to the final submission page without checking this box

## Can I Opt Out of the Notice of Electronic Service for Public Filings?

In the event you do not wish to notify Attorneys of Record of your e-filing, you may opt out of the Notice of Electronic Service for Public or Non-Public Filings. To do this, simply check the box at the bottom of the screen that reads “I am opting out of the Notice of Electronic Service” and click on the button labeled “Opt Out”. Once you do this, the system will not generate a Notice of Electronic Service and a Notice of Electronic Filing email will not be sent out.

# Federal Trade Commission E-Filing System



## Notice of Electronic Service for Public Filings

I hereby certify that this is a true and correct copy of Document Title, and that on this June 12, 2015, I caused the foregoing to be filed electronically with the following:

Name	Title
Jen Onaga	Administrative Law Judge
Jake Metzger	Office of the Secretary

I hereby certify that this is a true and correct copy of Document Title, and that on this June 12, 2015, I caused the foregoing to be served electronically to the following:

Name	Title	Firm	Email	Role
Jake Metzger	Attorney	ICF	jake.metzger@icfi.com	Complaint
Jen Onaga	Attorney	ICF	jennifer.onaga@icfi.com	Complaint
Michael Mehaffey		ICF	Michael.Mehaffey@icfi.com	Complaint

I hereby certify that this is a true and correct copy of Document Title, and that on this June 12, 2015, I caused the foregoing to be served by other means, as provided in 4.4(b) to the following:

Please check the boxes of the people you will serve outside of E-Filing:

	Name	Title	Firm	Email	Role
<input type="checkbox"/>	Diana Smith	Attorney	ICF	patrick.leary@icfi.com	Complaint
<input type="checkbox"/>	John Doe	Attorney	ICF	lorenzo.sevilla@icfi.com	Complaint
<input type="checkbox"/>	Fenice Wade	Attorney	ICF		Complaint
<input type="checkbox"/>	Jake Metzger		ICF	jake.metzger@icfi.com	Complaint
<input type="checkbox"/>	Jake Metzger	Title	ICF	jake.metzger@icfi.com	Complaint

Add any additional names that will be served via other means, as provided in 4.4(b) in the section below:

Name	Title	Firm	Email	Address	Role
Name...	Title...	Firm...	Email...	Address...	Complaint <input type="checkbox"/> Save

Add a Name

[Preview the Notice of Electronic Service](#)

Do you want to append this Notice of Electronic Service to the e-filing?  Yes  No

A notification that this filing has been submitted will be sent to the following email addresses:

Email
jake.metzger@icfi.com
jennifer.onaga@icfi.com
patrick.leary@icfi.com

- By checking this box, I hereby certify that I am the person named as the submitter for this document, and that the above information is true and accurate.
- I am opting out of the Notice of Electronic Service.

Cancel

Save for later Completion/Submission

Opt Out

Next >

Image 18 Notice of Electronic Service)



## Notice Of Electronic Service

I hereby certify that on June 12, 2015, I filed an electronic copy of the foregoing Document Title, with:

Jen Onaga  
Administrative Law Judge  
600 Pennsylvania Ave., NW  
Suite 110  
Washington, DC, 20580

Jake Metzger  
Office of the Secretary  
600 Pennsylvania Ave., NW  
Suite 172  
Washington, DC, 20580

I hereby certify that on June 12, 2015, I served via E-Service an electronic copy of the foregoing Document Title, upon:

Jake Metzger  
Attorney  
ICF  
jake.metzger@icfi.com  
Complaint

Jen Onaga  
Attorney  
ICF  
jennifer.onaga@icfi.com  
Complaint

Michael Mehaffey  
ICF  
Michael.Mehaffey@icfi.com  
Complaint

I hereby certify that on June 12, 2015, I served via other means, as provided in 4.4(b) of the foregoing Document Title, upon:

John Doe  
Attorney  
ICF  
lorenzo.sevilla@icfi.com  
Complaint

Jake Metzger  
Attorney

Image 19 (Preview of the Notice of Electronic Service)

### What happens when I am ready to submit my E-Filing?

When you are ready to submit an E-filing, you may click on the “Next >” button on the Notice of Electronic Service page as shown in Image 18, this will result in navigating you to the information verification screen (E.g. Image 20) where you must verify the following information for correctness:

# Federal Trade Commission E-Filing System



- Matter Number
- Matter Name
- Parties on behalf this filing is submitted
- Title
- Documents included in this submission

**NOTE:** Please read the Terms of Conditions listed on the page, the Submit button will not activate until the “I Accept” box is checked.

Once you have read the Terms of Conditions, you must check the “I Accept” box in order to comply with the terms and conditions of the FTC prior to submitting your E-Filing. Failure to do so will result in the system not allowing you to proceed forward with your submission.

The user also has the option to receive e-mail notifications if there is an update in the case status. In order to receive filing status email notifications you must check the “Please notify me of status changes via e-mail” box. Previously added email addresses that were copied on other filings you submitted will be listed - simply check the checkbox next to the email address to have them copied for the current filing. You may also add additional email addresses by clicking the “Add an Email Address” button.

Finally, you must click the “Submit” button to submit your E-Filing.

**NOTE:** If you click cancel, the system will prompt you to confirm that you wish to cancel the E-filing process. Clicking on “Cancel” will result in deleting the E-Filing and returning the user to the home page. Clicking on “OK” will return you back to the page to continue filing.



## Submit a Public E-Filing

You have selected the following proceeding to file:

Matter Number: D12345  
Matter Name: Demo of Phase II Task II  
Title: Document Title

Documents included in this submission:

Filename	Title	Type
RulesofBehavior-NonPublicUsers.pdf	Document Title	Complaint Counsel Filings After Final Order

Please read the following information carefully before submitting any Public E-filing:

1. You are transmitting a public document to the Commission. Accepted submissions will become part of the public record.
2. The first page shall clearly show the file or docket number and title of the action in connection with which they are filed. Every page of each such document shall be clearly and accurately labeled "**Public**" per Rule 4.2(b).
3. Every document submitted through the E-filing system must be a full-text searchable PDF file.
4. If any document contains *in camera* or otherwise confidential material, it must be designated as a "Non-Public" filing in the E-Filing system, and you must follow the requirements in Rule 4.2(c) for filing *in camera* or confidential documents. To file non-public documents in the E-Filing system, please navigate back to the list of proceedings and click on "Submit Non-Public Filing" in the corresponding matter's row.
5. Documents presented for filing shall contain proof of service in the form of a statement of the date and manner of service and of the names of the persons served, certified by the person who made service. Proof of service must appear on or be affixed to the documents filed. Rule 4.4(d).
6. The filing should be a single text file, in Adobe Portable Document Format ("PDF").
7. By checking "I Accept" and pressing the Submit button you are stating and confirming:
  - (a) that you have read and understand all of the foregoing disclosures and procedures;
  - (b) that the information submitted will not contain any *in camera* or otherwise confidential material; and
  - (c) that all the information submitted will become part of the public records of the Commission, and may be placed on the publicly accessible Commission Web site.

I accept

Please notify me of status changes via e-mail

Please check the additional email addresses to be copied on filing status notification emails:

Add an Email Address

Cancel

Submit

Image 20 (Filing Submission screen)

# Federal Trade Commission E-Filing System



## Can I save my session and continue later?

Yes, after filling out information click on the “Save for later completion/submission” button on any of the screens, this will allow you to come in at a later time. Upon returning, clicking on the File/Docket Number (E.g. Image 21) will result in the system returning you to submit an E-Filing screen.

The screenshot shows the Federal Trade Commission E-Filing System dashboard. At the top, it says "Federal Trade Commission E-Filing System" with the FTC logo and "version: 2.0.7.STAGE63" and "FAQ Help" links. On the left is a navigation menu with "CONTENTS", "Home", "Submit a Notice of Appearance", "Submit an E-Filing", "Update User Account Information", "Contact Us", "Docket Sheet", and "Logout". The main content area says "You have the following Pending Submission(s). Click on the Docket Number to retrieve it." Below this is a table with one row: File/Docket Number: [D12345](#), Matter Name: Demo of Phase II Task I, Parties Represented: (empty), Title of Submission: (empty). Below the table, it says "To submit a new E-Filing [click here](#)." At the bottom, there are links for "FTC.gov | Accessibility | Privacy Policy | Related Sites | USA.gov | FTC Rules of Practice" and a note: "The E-Filing System is operated by ICF International on behalf of the Federal Trade Commission".

File/Docket Number	Matter Name	Parties Represented	Title of Submission
<a href="#">D12345</a>	Demo of Phase II Task I		

Image 21 (Save Filing for later completion)

## Will I be given a confirmation number upon submission?

Yes, a confirmation screen will be provided upon a successful submission of a filing, please make a note of the submission number. It is recommended that you print and keep a paper copy of the confirmation screen for your personal records (E.g. Image 22)

The screenshot shows a confirmation screen titled "Submit an E-Filing". It says "Congratulations!" and "Your filing has been submitted successfully!". Below that, it provides the submission number: "The submission number for the filing is D09342-43ccf4ae-85ff-4178-a615-82946910c598". At the bottom, there are two links: "Click here to return to Home Page" and "Click here to Logout".

Image 22 (Filing Confirmation)

# Federal Trade Commission E-Filing System



## ***What do the users who opt-in to E-Notifications receive from Public Filings?***

Users who opt-in to E-Notifications will receive a Notice of Electronic Filing that is sent when a document has been submitted to E-Filing for a docket in which you have opted-in to E-Notifications. For all public filings a link to the courtesy copy will also be included in the Notice of Electronic Filing. Transmission of the Notice of Electronic Filing acts as service of the filing.

The Notice of Electronic Filing contains the following items (shown in Image 23):

- The docket number and matter name for which the filing was submitted
- The name of the filer who submitted the filing
- The date and time the filing was submitted to the system
- An encrypted link to the document
  - Only the registered users who receive the courtesy copy email will be able to access the document in the system. This includes the Office of the Secretary, the Administrative Law Judge and all filers who opted in to E-Notifications (the additional email addresses to receive E-Notifications will not be able to access the document)
- A list of the users who were sent a courtesy copy electronically
  - This includes the Office of the Secretary, the Administrative Law Judge and all the filers who opted in to E-Notifications
- A list of the users who were sent a courtesy copy by other means, as provided in Rule 4.4(b)
  - This includes the attorneys that the filer of the document selected during the filing process in the third table of the Notice of Electronic Service and those that were added in manually in the fourth table of the page
- A list of the additional emails that receive a notification of the filing's submission to the E-Filing system

## **Why does the Notice of Electronic Filing come from the filer?**

If one of the users who has opted in to E-Notifications enters an invalid email address in their Notice of Appearance then the filer of the filing would receive a bounceback email notifying them that the email was not successfully sent. Similarly, if one of the attorneys that receive the courtesy copy email hit "Reply" then the default recipient would be the filer of the filing. The filer will also receive a read receipt when the Notice of Electronic filing email is opened.

**Note:** Read receipts must be turned on in your email client in order for the filer to receive them.



## Notice of Electronic Filing

A filing under Docket Number: D12345 Matter Name: Demo of Phase II Task II has been made by Jake Metzger from ICF on 05/11/2015 at 03:21 PM.

You can access your courtesy copy of the Complaint Counsel Filings After Final Order, Document Title, with your E-Filing credentials here: <https://ftcfile-stage.icfwebservice.com:443/ShowDoc.aspx?fef=Ba0GF/YwMSb66D0+V47q86AwmhwgsMefpSFucaezF2w=>

**This document was filed electronically with:**

Jake Metzger  
Office of the Secretary  
Federal Trade Commission  
600 Pennsylvania Ave., NW  
Suite 172  
Washington, DC 20580

Jen Onaga  
Administrative Law Judge  
Federal Trade Commission  
600 Pennsylvania Ave., NW  
Suite 110  
Washington, DC 20580

**The following people have been sent a courtesy copy electronically:**

Jake Metzger  
Attorney  
ICF  
[jake.metzger@icfi.com](mailto:jake.metzger@icfi.com)  
Complaint Counsel

Jen Onaga  
Attorney  
ICF  
[jennifer.onaga@icfi.com](mailto:jennifer.onaga@icfi.com)  
Complaint Counsel

Michael Mehaffey  
ICF  
[Michael.Mehaffey@icfi.com](mailto:Michael.Mehaffey@icfi.com)  
Complaint Counsel

**The following people have been sent a courtesy copy by other means, as provided in 4.4(b):**

John Doe  
Attorney  
ICF  
9300 Lee Highway  
Fairfax, VA 22031  
[lorenzo.sevilla@icfi.com](mailto:lorenzo.sevilla@icfi.com)  
Complaint Counsel

Fenice Wade  
Attorney  
ICF  
9300 Lee Highway  
Fairfax, VA 22031  
Complaint Counsel

**Notification of this filing's submission to the E-Filing system has been sent to the following e-mail addresses:**

[jake.metzger@icfi.com](mailto:jake.metzger@icfi.com)

[jennifer.onaga@icfi.com](mailto:jennifer.onaga@icfi.com)

[patrick.leary@icfi.com](mailto:patrick.leary@icfi.com)

Image 23 (Courtesy Copy Email)

# Federal Trade Commission E-Filing System



## Submit a new Non-Public Filing

**NOTE:** To submit a Filing you are required to submit a Notice of Appearance for the docket in which you wish to participate. If you have not previously submitted an NOA for a particular docket the system will not allow you to submit an E-Filing for that docket.

- To submit a non-public filing click on “Submit Non-Public Filing” (e.g. Image 24) in the corresponding matter’s row.

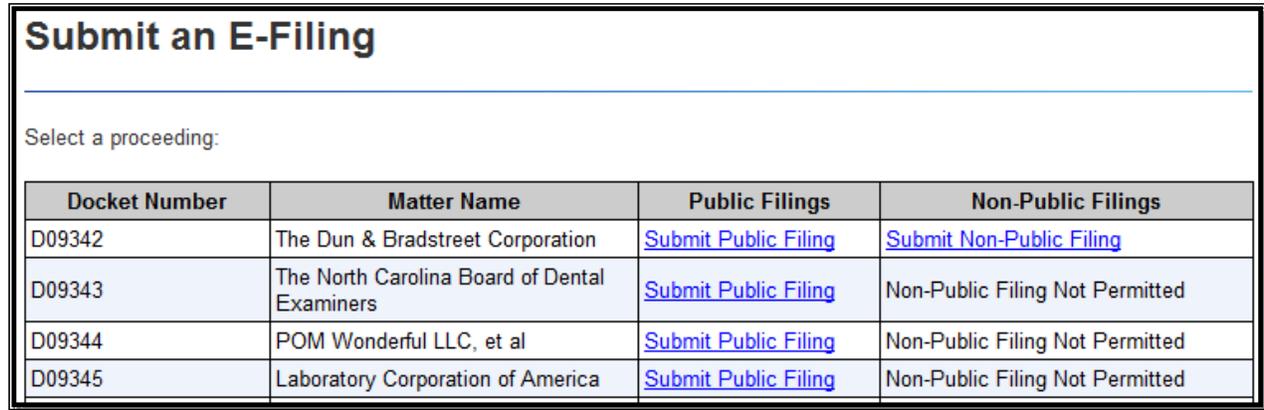


Image 24 (Select Proceeding for Filing)

You may enter a title (this is for your own reference) and click the browse button. The browse button will allow you to select the location of the file you wish to upload. Locate the file and click open (e.g. Image 26) followed by clicking add (e.g. Image 25). Please note that more than one document for a particular E-Filing can be added.

Please limit each file name to less than 128 characters. Each file must be no larger than 150MB. No more than 150MB may be uploaded in a single submission. If you have files larger than 150MB or need to submit more than 150MB in a single submission, please contact the Help desk (E-mail: [ftcefilesupport@icfi.com](mailto:ftcefilesupport@icfi.com) or call: 703-934-3515) for further instructions.

**NOTE:** Please read the following information carefully before submitting any Non-Public E-Filing:

The first page shall clearly show the file or docket number and title of the action in connection with which they are filed. Every page of each such document shall be clearly and accurately labeled “*In Camera*” or “*Confidential*” per Rule 4.2(b).

## Submit a Non-Public E-Filing (\*denotes required field)

Title of Submission:  
This title is for your own reference

To add a document, click "Browse", select the file, and click "Add".

File:

Please limit each file name to less than 128 characters. Some special characters may be removed from the file name upon saving. Each file must be no larger than 150MB. No more than 150MB may be uploaded in a single submission. If you have files larger than 150MB, or need to submit more than 150MB in a single submission, click "Help" for guidance.

Please read the following information carefully before submitting a Non-Public E-Filing:

The first page shall clearly show the file or docket number and title of the action in connection with which they are filed. Every page of each such document shall be clearly and accurately labeled “*In Camera*” or “*Confidential*” per Rule 4.2(b).

Per Rule 4.2(c), information labeled “*In Camera*” or “*Confidential*” include as an attachment either a motion requesting in camera or other confidential treatment, in the form prescribed by Rule 3.45, or a copy of a Commission, Administrative Law Judge, or federal court order granting such treatment. The submitter must also mark any such material in the complete versions of their submissions in a conspicuous matter, such as with highlighting or bracketing and include as a separate attachment a set of only those pages of the document on which the in camera or otherwise confidential material appears and comply with all other requirements of Rule 3.45 and any other applicable rules governing in camera treatment.

Documents included in this submission:

Document Details

If your submission includes exhibits that are not in electronic format, please call 703-934-3515 for further guidance.

Image 25

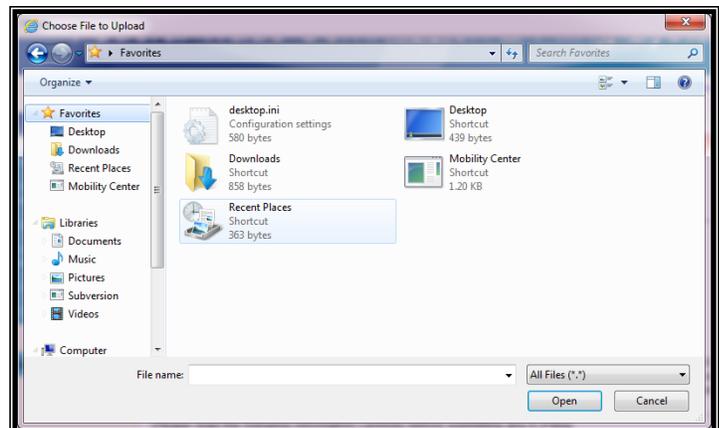


Image 26

# Federal Trade Commission E-Filing System



Once the file has been uploaded you may navigate towards the bottom of the screen and provide the following information (e.g. shown in Image 27).

- Enter *Document Title*
- Select *Document Type* (Select one of the following options from the drop down list provided :)
  - ALJ SUBPOENA REQUESTED BY COMPLAINT COUNSEL
  - ALJ SUBPOENA REQUESTED BY RESPONDENT
  - COMMISSION INTERLOCUTORY ORDERS AFTER INITIAL DECISION
  - COMMISSION INTERLOCUTORY ORDERS BEFORE INITIAL DECISION
  - COMPLAINT COUNSEL BRIEFS AND OTHER FILINGS BEFORE THE COMMISSION AFTER THE INITIAL DECISION
  - COMPLAINT COUNSEL FILINGS AFTER FINAL ORDER
  - COMPLAINT COUNSEL MOTIONS, BRIEFS, PROPOSED FINDING, AND OTHER FILINGS BEFORE THE ALJ
  - COMPLAINT COUNSEL NOTICE OF APPEAL
  - CORRESPONDENCE AND OTHER PART 3 DOCUMENTS
  - DISCOVERY AND OTHER INFORMATION REQUESTS [PART 3]
  - INTERVIEW REPORTS/ AFFIDAVITS/ DECLARATIONS/ TRANSCRIPTS (DEPOSITIONS)/ EXHIBITS [PART 3]
  - JOINT MOTIONS TO WITHDRAW FROM ADJUDICATION
  - MOTIONS, BRIEFS, AND PROPOSED FINDINGS [PART 3]
  - OTHER JOINT MOTIONS BEFORE THE ALJ
  - REQUEST TO REOPEN AND MODIFY ORDERS [PART 3]
  - RESPONDENT BRIEFS AND OTHER FILINGS BEFORE THE COMMISSION AFTER THE INITIAL DECISION
  - RESPONDENT FILINGS AFTER FINAL ORDER (INCLUDING PETITIONS FOR RECONSIDERATION)
  - RESPONDENT MOTIONS, BRIEFS, PROPOSED FINDING, AND OTHER FILINGS BEFORE THE ALJ
  - RESPONDENT NOTICE OF APPEAL
  - RESPONDENTS' ANSWERS [PART 3]
  - TRIAL EXHIBITS
  - TRIAL TRANSCRIPTS
  - NOA
- Select *Does this submission include physical exhibits?* (Select one of the following options from the drop down list provided):
  - Yes
  - No
- The system also gives you the option of removing the document and attaching a new one. This can be done by clicking on the “Remove” button.

# Federal Trade Commission E-Filing System



**Submit a Non-Public E-Filing (\*denotes required field)**

Title of Submission:  
This title is for your own reference

Document Title

To add a document, click "Browse", select the file, and click "Add".

File:

Please limit each file name to less than 128 characters. Some special characters may be removed from the file name upon saving. Each file must be no larger than 150MB. No more than 150MB may be uploaded in a single submission. If you have files larger than 150MB, or need to submit more than 150MB in a single submission, click "Help" for guidance.

Please read the following information carefully before submitting a Non-Public E-Filing:

The first page shall clearly show the file or docket number and title of the action in connection with which they are filed. Every page of each such document shall be clearly and accurately labeled **"In Camera"** or **"Confidential"** per Rule 4.2(b).

Per Rule 4.2(c), information labeled "In Camera" or "Confidential" include as an attachment either a motion requesting in camera or other confidential treatment, in the form prescribed by Rule 3.45, or a copy of a Commission, Administrative Law Judge, or federal court order granting such treatment. The submitter must also mark any such material in the complete versions of their submissions in a conspicuous matter, such as with highlighting or bracketing and include as a separate attachment a set of only those pages of the document on which the in camera or otherwise confidential material appears and comply with all other requirements of Rule 3.45 and any other applicable rules governing in camera treatment.

Documents included in this submission:

Document Details	
Filename*: RulesofBehavior-NonPublicUsers.pdf	
Document Title*:	<input type="text"/>
Document Type*:	<input type="text"/> <a href="#">Remove</a>
Does this submission include physical exhibits?*	<input type="checkbox"/>

**This document contains non-public information**

If your submission includes exhibits that are not in electronic format, please call 703-934-3515 for further guidance.

Figure 25 (Upload Filing Document)

Click on the "Next >" button to move on to the Notice of Electronic Service for Non-Public Filings (e.g. Image 29)

## What is the Notice of Electronic Service for Non-Public Filings?

The Notice of Electronic Service for Non-Public Filings generates a PDF document, similar to the Certificate of Service, listing who was served via the E-Filing system as well as outside of the system.

The following information is provided in the Notice of Electronic Service:

- **Administrative Law Judge and Office of the Secretary**
  - The first table shows that a copy of the document will be filed electronically (through the E-Filing system) with the Administrative Law Judge and the Office of the Secretary
- **Attorneys of Record**
  - The second table shows a list of the Attorneys of Record for this particular docket
  - In order to add these attorneys to the Notice of Electronic Service, you must check the checkbox in the corresponding row of the attorney you agree to serve by other means, as provided in Rule 4.4(b)
- **Manually adding people to the Notice of Electronic Service**
  - The third table allows you to add any additional people who you agree to serve this document by other means, as provided in Rule 4.4(b). This is not a required field
  - You may add as many extra attorneys as you wish by clicking on the "Add a Name" button below the third table
- **Previewing the Notice of Electronic Service**
  - The link labeled *Preview the Notice of Electronic Service* will generate a PDF preview of the Notice of Electronic Service using the information seen in the above tables (e.g. shown in Image 30). If you wish to check/uncheck some of the attorneys from the third table or add/remove attorneys from the fourth table, then pressing on the "preview" link will update the document with the new information
- **Appending the Notice of Electronic Service PDF**

# Federal Trade Commission E-Filing System



- Below the preview link is the question *Do you want to append this Notice of Electronic Service to the e-filing?* with the options of *Yes* and *No* in the dropdown selector. If you choose the option *Yes*, then upon successful submission of the filing the Notice of Electronic Service will be appended to the end of your PDF document. If you choose the option *No*, then the Notice of Electronic Service will not be appended and the selected information will only act as the information within the courtesy copy email
- Information from the Notice of Electronic Service will still be accessible to the Records and Filings Office of the FTC
- **Additional Email Addresses to be Copied on E-Notifications**
  - The final table within the page displays the email addresses that will receive a notification that this filing has been submitted. These email addresses will not be able to access the filed document, but only receive the courtesy copy email as a notice of submission
- **Verifying that you are the submitter of the document**
  - The final step on the page is to verify that you are the person named as the submitter for this document and that all the above information regarding who is being served and in what way they are being served is correct. Once the box is checked the *Next* button will become active
  - You will not be able to move on to the final submission page without checking this box

## Can I Opt Out of the Notice of Electronic Service for Non-Public Filings?

In the event you do not wish to notify Attorneys of Record of your e-filing, you may opt out of the Notice of Electronic Service for Public or Non-Public Filings. To do this, simply check the box at the bottom of the screen that reads “I am opting out of the Notice of Electronic Service” and click on the button labeled “Opt Out”. Once you do this, the system will not generate a Notice of Electronic Service and a Notice of Electronic Filing email will not be sent out.

# Federal Trade Commission E-Filing System



## Notice of Electronic Service for Non-Public Filings

I hereby certify that this is a true and correct copy of Document Title, and that on this May 11, 2015, I caused the foregoing to be filed with the following:

Name	Title
Jen Onaga	Administrative Law Judge
Jake Metzger	Office of the Secretary

I hereby certify that this is a true and correct copy of Document Title, and that on this May 11, 2015, I caused the foregoing to be served by other means, as provided in 4.4(b) to the following:

Please check the boxes of the people you will serve outside of E-Filing:

	Name	Title	Firm	Email	Address	Role
<input type="checkbox"/>	Jake Metzger	Attorney	ICF	jake.metzger@icfi.com	9300 Lee Highway, Fairfax, VA 22031	Complaint
<input checked="" type="checkbox"/>	Diana Smith	Attorney	ICF	patrick.leary@icfi.com	9300 Lee Highway, Fairfax, VA 22031	Complaint
<input checked="" type="checkbox"/>	John Doe	Attorney	ICF	lorenzo.sevilla@icfi.com	9300 Lee Highway, Fairfax, VA 22031	Complaint
<input type="checkbox"/>	Jen Onaga	Attorney	ICF	jennifer.onaga@icfi.com	9300 Lee Highway, Fairfax, VA 22031	Complaint
<input type="checkbox"/>	Fenice Wade	Attorney	ICF		9300 Lee Highway, Fairfax, VA 22031	Complaint
<input type="checkbox"/>	Jake Metzger		ICF	jake.metzger@icfi.com	9300 Lee Highway, Washington, AK 22222	Complaint
<input type="checkbox"/>	Jake Metzger	Title	ICF	jake.metzger@icfi.com	9300 Lee Highway, Washington, AK 22222	Complaint
<input type="checkbox"/>	Michael Mehaffey		ICF	Michael.Mehaffey@icfi.com	123, Fairfax, VA 22031	Complaint

Add any additional names that will be served by other means, as provided in 4.4(b) in the section below:

Name	Title	Firm	Email	Address	Role
<input type="text" value="Name..."/>	<input type="text" value="Title..."/>	<input type="text" value="Firm..."/>	<input type="text" value="Email..."/>	<input type="text" value="Address..."/>	<input type="text" value="Complaint"/> <input type="button" value="Save"/>

[Preview the Notice of Electronic Service](#)

Do you want to append this Notice of Electronic Service to the e-filing?

A notification that this filing has been submitted will be sent to the following email addresses:

Email
jake.metzger@icfi.com
jennifer.onaga@icfi.com
patrick.leary@icfi.com

- By checking this box, I hereby certify that I am the person named as the submitter for this document, and that the above information is true and accurate.
- I am opting out of the Notice of Electronic Service.

Image 29 (Notice of Electronic Service)



## Notice Of Electronic Service

**I hereby certify that on May 11, 2015, I filed an electronic copy of the foregoing Document Title, with:**

Jen Onaga  
Administrative Law Judge  
600 Pennsylvania Ave., NW  
Suite 110  
Washington, DC, 20580

Jake Metzger  
Office of the Secretary  
600 Pennsylvania Ave., NW  
Suite 172  
Washington, DC, 20580

**I hereby certify that on May 11, 2015, I served via other means, as provided in 4.4(b) of the foregoing Document Title, upon:**

Diana Smith  
Attorney  
ICF  
patrick.leary@icfi.com  
9300 Lee Highway  
Fairfax, VA 22031  
Complaint

John Doe  
Attorney  
ICF  
lorenzo.sevilla@icfi.com  
9300 Lee Highway  
Fairfax, VA 22031  
Complaint

Jake Metzger  
Attorney

Image 30 (Preview of the Notice of Electronic Service)

### **What happens when I am ready to submit my E-Filing?**

When you are ready to submit an E-filing, you may click on the “Next >” button on the Notice of Electronic Service page as shown in Image 29, this will result in navigating you to the information verification screen (E.g. Image 31) where you must verify the following information for correctness:

- Matter Number
- Matter Name
- Parties on behalf this filing is submitted
- Title

# Federal Trade Commission E-Filing System



- Documents included in this submission

**NOTE:** Please read the Terms of Conditions listed on the page, the Submit button will not activate until the “I Accept” box is checked.

Once you have read the Terms of Conditions, you must check the “I Accept” box in order to comply with the terms and conditions of the FTC prior to submitting your E-Filing. Failure to do so will result in the system not allowing you to proceed forward with your submission.

The user also has the option to receive e-mail notifications if there is an update in the case status. In order to receive filing status email notifications you must check the “Please notify me of status changes via e-mail” box. Previously added email addresses that were copied on other filings you submitted will be listed - simply check the checkbox next to the email address to have them copied for the current filing. You may also add additional email addresses by clicking the “Add an Email Address” button.

Finally, you must click the “Submit” button to submit your E-Filing.

**NOTE:** If you click cancel, the system will prompt you to confirm that you wish to cancel the E-filing process. Clicking on “Cancel” will result in deleting the E-Filing and returning the user to the home page. Clicking on “OK” will return you back to the page to continue filing.



## Submit a Non-Public E-Filing

You have selected the following proceeding to file:

Matter Number: D12345

Matter Name: Demo of Phase II Task II

Title: Document Title

Documents included in this submission:

Filename	Title	Type
RulesofBehavior-NonPublicUsers.pdf	Document Title	Request to Reopen and Modify Orders [Part 3]

Please read the following information carefully before submitting a Non-Public E-filing:

1. The first page shall clearly show the file or docket number and title of the action in connection with which they are filed. Every page of each such document shall be clearly and accurately labeled "*In Camera*" or "*Confidential*" per Rule 4.2(b).
2. Per Rule 4.2(c), information labeled "In Camera" or "Confidential" must include as an attachment either a motion requesting in camera or other confidential treatment, in the form prescribed by Rule 3.45, or a copy of a Commission, Administrative Law Judge, or federal court order granting such treatment. The document must also include as a separate attachment a set of only those pages of the document on which the in camera or otherwise confidential material appears and comply with all other requirements of Rule 3.45 and any other applicable rules governing in camera treatment.
3. Every document submitted through the E-filing system must be a full-text searchable PDF file.
4. Documents presented for filing shall contain proof of service in the form of a statement of the date and manner of service and of the names of the persons served, certified by the person who made service. Proof of service must appear on or be affixed to the documents filed. Rule 4.4(d).
5. The filing should be a single text file, in Adobe Portable Document Format ("PDF").
6. By checking "I Accept" and pressing the Submit button you are stating and confirming:
  - (a) that you have read and understand all of the foregoing disclosures and procedures; and
  - (b) that the information submitted contains *in camera* or otherwise confidential material.

I accept

Please notify me of status changes via e-mail

Please check the additional email addresses to be copied on filing status notification emails:

Add an Email Address

Cancel

Submit

Image 31 (Filing Submission screen)

# Federal Trade Commission E-Filing System



## Can I save my session and continue later?

Yes, after filling out information click on the “Save for later completion/submission” button on any of the screens, this will allow you to come in at a later time. Upon returning, clicking on the File/Docket Number (E.g. Image 32) will result in the system returning you to the Submit an E-Filing screen.

The screenshot shows the Federal Trade Commission E-Filing System dashboard. At the top, it says "Federal Trade Commission E-Filing System" with the FTC logo and "version: 2.0.7.STAGE63" and "FAQ Help" links. A "CONTENTS" sidebar on the left lists: Home, Submit a Notice of Appearance, Submit an E-Filing, Update User Account Information, Contact Us, Docket Sheet, and Logout. The main content area says "You have the following Pending Submission(s). Click on the Docket Number to retrieve it." Below this is a table with columns: File/Docket Number, Matter Name, Parties Represented, and Title of Submission. One row is visible with "D12345" in the first column and "Demo of Phase II Task I" in the second. Below the table, it says "To submit a new E-Filing click here." At the bottom, there are links for "FTC.gov | Accessibility | Privacy Policy | Related Sites | USA.gov | FTC Rules of Practice" and a note: "The E-Filing System is operated by ICF International on behalf of the Federal Trade Commission".

File/Docket Number	Matter Name	Parties Represented	Title of Submission
<a href="#">D12345</a>	Demo of Phase II Task I		

Image 32 (Save Filing for later completion)

## Will I be given a confirmation number upon submission?

Yes, a confirmation screen will be provided upon a successful submission of a filing, please make a note of the submission number. It is recommended that you print and keep a paper copy of the confirmation screen for your personal records (E.g. Image 33)

The screenshot shows a confirmation screen titled "Submit an E-Filing". It says "Congratulations!" and "Your filing has been submitted successfully!". Below that, it provides the submission number: "The submission number for the filing is D09342-43ccf4ae-85ff-4178-a615-82946910c598". At the bottom, there are two links: "Click here to return to Home Page" and "Click here to Logout".

Image 33 (Filing Confirmation)

# Federal Trade Commission E-Filing System



## ***What do the users who opt-in to E-Notifications receive from Non-Public Filings?***

Users who opt-in to E-Notifications will receive a Notice of Electronic Filing email that is sent when a document has been submitted to E-Filing for a docket in which you have opted-in to E-Notifications.

The Notice of Electronic Filing for Non-Public filings contains the following items (shown in Image 34):

- The docket number and matter name for which the filing was submitted
- The name of the filer who submitted the filing
- The date and time the filing was submitted to the system
- The Document Type and Document Title of the documents included in the filing
- A list of the users who were sent a courtesy copy by other means, as provided in Rule 4.4(b)
  - This includes the Office of the Secretary, the Administrative Law Judge, attorneys that the filer of the document selected during the filing process in the second table of the Notice of Electronic Service and those that were added in manually in the fourth table of the page
- A list of the additional emails that receive a notification of the filing's submission to the E-Filing system

**Note:** Unlike a Notice of Electronic Filing for Public filings, the email for Non Public filings does not include a courtesy copy link.

## **Why does the Notice of Electronic Filing come from the filer?**

If one of the users who has opted in to E-Notifications enters an invalid email address in their Notice of Appearance then the filer of the filing would receive a bounceback email notifying them that the email was not successfully sent. Similarly, if one of the attorneys that receive the courtesy copy email hit "Reply" then the default recipient would be the filer of the filing. The filer will also receive a read receipt when the Notice of Electronic filing email is opened.

**Note:** Read receipts must be turned on in your email client in order for the filer to receive them.



## Notice of Electronic Filing

A non-public filing under Docket Number: D12345 Matter Name: Demo of Phase II Task II has been made by Jake Metzger from ICF on 05/11/2015 at 03:27 PM,

Document(s) included:

Request to Reopen and Modify Orders [Part 3], Document Title

**This document was filed electronically with:**

Jake Metzger  
Office of the Secretary  
Federal Trade Commission  
600 Pennsylvania Ave., NW  
Suite 172  
Washington, DC 20580

Jen Onaga  
Administrative Law Judge  
Federal Trade Commission  
600 Pennsylvania Ave., NW  
Suite 110  
Washington, DC 20580

**The following people have been sent a courtesy copy by other means, as provided in 4.4(b):**

Diana Smith  
Attorney  
ICF  
9300 Lee Highway  
Fairfax, VA 22031  
[patrick.learv@icfi.com](mailto:patrick.learv@icfi.com)  
Complaint Counsel

John Doe  
Attorney  
ICF  
9300 Lee Highway  
Fairfax, VA 22031  
[lorenzo.sevilla@icfi.com](mailto:lorenzo.sevilla@icfi.com)  
Complaint Counsel

**Notification of this filing's submission to the E-Filing system has been sent to the following e-mail addresses:**

[jake.metzger@icfi.com](mailto:jake.metzger@icfi.com)

[jennifer.onaga@icfi.com](mailto:jennifer.onaga@icfi.com)

[patrick.learv@icfi.com](mailto:patrick.learv@icfi.com)

Image 34 (Courtesy Copy Email)

### ***What is the Docket Sheet?***

To view all of the filings for a particular docket navigate to the Docket Sheet link located on the navigation screen on the left-hand side of the page.

**Note:** The Docket Sheet has replaced the *View Status of Your Filings* page.

### **Who can access the Docket Sheet?**

- Attorneys of Record

# Federal Trade Commission E-Filing System



- If you are an Attorney of Record for a docket then you will have access to Filed and Pending filings submitted by anyone for that particular docket. Attorneys of Record can also access any of their own filings that have been Returned.
- Third Party Counsel
  - Third party counsel will have access to any of their own filings that are in Pending, Filed or Returned status. Third Party Counsel cannot view the Docket Sheet or view filings submitted by other users.

**Note:** Users who are not an Attorney of Record or Third Party Counsel for a docket will not be able to access any filings within that particular docket.

You can select any of the proceedings using the *Proceedings* dropdown list and filter the Docket Sheet results by status by using the *Status* dropdown list (shown in Image 35) that provides the following options:

- All
- Filed Filings
- Pending Filings
- My Returned Filings

## Why are some of the Document Titles not links to the filing?

The non-public filings will not provide a link to the filing in the E-Filing system. These documents will be listed in the Docket Sheet, but not accessible because they contain sensitive information.

## Can I filter the results of the Docket Sheet?

You can filter results by clicking on the + *Show Additional Filters* link with the following filters (shown in Image 36):

- Selecting the *Filed Date* (This is the day the filing was marked filed, but not necessarily the day the filing was submitted to the system)
- Entering the *Filer Name*
- Entering the *Organization/Firm* of the filing attorney
- Entering the *Document Title* of the filing

A screenshot of the search filters section of the Docket Sheet. It features a "SEARCH:" heading, a "Proceedings:" label with a dropdown menu showing "Select Proceeding...", a "Status:" label with a dropdown menu showing "All", a blue link "+ Show Additional Filters", and a grey "Search" button.

SEARCH:  
Proceedings: Select Proceeding...  
Status: All  
[+ Show Additional Filters](#)  
Search

Image 35 (Docket Sheet)

A screenshot of the search filters section in the Federal Trade Commission E-Filing System. The section is titled 'SEARCH:' and contains several input fields and a search button. The fields are: 'Proceedings:' with a dropdown menu showing 'Select Proceeding...'; 'Status:' with a dropdown menu showing 'All'; '- Hide Additional Filters' (a blue link); 'Filed Date:' with a text input field 'Enter Date..'; 'Filer Name:' with a text input field 'Filer Name..' and a calendar icon; 'Organization/Firm:' with a text input field 'Firm..'; and 'Document Title:' with a text input field 'Document Title..'. A 'Search' button is located at the bottom left of the search area.

Image 36 (Show Additional Filters)

Once the *Search* button is clicked the Docket Sheet results will appear below displaying all the filings that match your chosen proceeding, status and filter options (shown in Image 37).

## Can I sort the columns of the Docket Sheet?

To sort the different columns of the Docket Sheet all you have to do is click on the header of the column you want to sort. The Docket Sheet defaults to be sorted by *Filed Date* in chronological order. You can also sort the Docket Sheet in the following ways:

- Clicking on the *Filed Date* column header will sort the results in chronological order. Clicking on the *Filed Date* header a second time will re-sort the results in reverse chronological order
- Clicking on the *Filer Name* column header will sort the results in alphabetical order by the last name of the filer. Clicking on the *Filer Name* header a second time will re-sort the results in reverse alphabetical order by the last name of the filer
- Clicking on the *Organization/Firm* column header will sort the results in alphabetical order by the name of the firm. Clicking on the *Organization/Firm* header a second time will re-sort the results in reverse alphabetical order by the name of the firm.
- Clicking on the *Document Title* column header will sort the results in alphabetical order by the document title. Clicking on the *Document Title* header a second time will re-sort the results in reverse alphabetical order by the document title.
- Clicking on the *Category* column header will sort the results in alphabetical order by the category. Clicking on the *Category* header a second time will re-sort the results in reverse alphabetical order by the category.

# Federal Trade Commission E-Filing System



D12345 Demo of Phase II Task I

[View Attorneys of Record for This Docket](#)

Filed Date ▼	Filer Name	Organization/Firm	Document Title	Category
12/09/2014	Metzger, Jake		<a href="#">Test</a>	Public
12/05/2014	Metzger, Jake	ICF	<a href="#">Notice of Appearance</a>	Public
12/05/2014	McCoy-Hunter, Crystal		<a href="#">Demo</a>	Public
11/13/2014	Onaga, Jennifer	ICF	<a href="#">Notice of Appearance</a>	Public
11/12/2014	Smith, Diana	XYZ	<a href="#">Respondents</a>	Public
11/05/2014	Metzger, Jake	ICF	<a href="#">Demo Document</a>	Public
11/01/2014	Doe, John	ABC, LLC	<a href="#">TestDoc</a>	Public
10/29/2014	Metzger, Jake	ICF	<a href="#">Notice of Appearance</a>	Public
Pending	Smith, Diana	XYZ	<a href="#">Document</a>	Public
Pending	Onaga, Jennifer	ICF	<a href="#">Demo Document</a>	Public
Pending	Onaga, Jennifer	ICF	<a href="#">Demo Document</a>	Public
Pending	Escobar, Michelle	FTC	<a href="#">Notice of Appearance</a>	Public
Pending	Metzger, Jake	ICF	<a href="#">test</a>	Public
Pending	Metzger, Jake	ICF	<a href="#">Two-Factor Test</a>	Public
Pending	Metzger, Jake		<a href="#">test</a>	Public
Pending	Metzger, Jake		<a href="#">test2</a>	Public
Pending	Metzger, Jake	ICF	Demo Document	Non-Public

Image 37 (Docket Sheet)

## How can I print the Docket Sheet?

In the top right corner of the Docket Sheet page (shown in Image 25), there is a link labeled *Printer-Friendly Version*. Clicking on the link will open up a new window that shows the currently displayed Docket Sheet results in a printer-friendly format.

## Attorneys of Record Information

The attorneys supporting the complaint and respondent counsel that are listed in the Counsel/Representative section of the Notice of Appearance will be added to the Attorneys of Record. The attorneys for a third party listed in the Counsel/Representative section of the Notice of Appearance will not be added to the Attorneys of Record, but will still be able to submit filings for that docket. Furthermore, any attorneys listed in the Respondents/Third Party section of the Notice of Appearance will not be added to the Attorneys of Record.

## How do I see the list of Attorneys of Record for a docket?

The link to the Attorneys of Record for a docket is located underneath the docket number and matter name in the Docket Sheet and is labeled *View Attorneys of Record for This Docket* (see Image 37).

## What can I edit on the Attorneys of Record page?

You can only edit the E-Notification preferences for yourself and the attorneys that were listed in the Counsel/Representative section of a Notice of Appearance that you submitted by clicking the *Edit* button in the corresponding row (see Image 38). When changing an attorney's E-Notification preference from *No* to *Yes* an email address is required for the attorney to receive the Notice of Electronic Filing emails.

# Federal Trade Commission E-Filing System



You can also only edit the additional email addresses copied on E-Notifications that you added in section 6 of the Notice of Appearance or the email addresses that you have added manually on the Attorneys of Record page. You may also add an additional email address to be copied on E-Notifications to a docket if you are an Attorney of Record for that particular docket.

## Can I remove myself from the Attorneys of Record?

You cannot remove yourself from the Attorneys of Record on the Attorneys of Record page. You must submit a motion withdrawing yourself as counsel for that particular proceeding.

**D12345 Demo of Phase II Task I**

Name	Title	Firm	Email	Receives E-Notification	
Jake Metzger	Attorney	ICF	jake.metzger@icfi.com	Yes	<input type="button" value="Edit"/>
Diana Smith	Attorney	ICF	patrick.leary@icfi.com	Yes	<input type="button" value="Edit"/>
John Doe	Attorney	ICF	lorenzo.sevilla@icfi.com	No	<input type="button" value="Edit"/>
Jen Onaga	Attorney	ICF	jennifer.onaga@icfi.com	Yes	
Patrick Leary	Attorney	ICF	patrick.leary@icfi.com	Yes	
Fenice Wade	Attorney	ICF		No	

**Additional Email Addresses Copied on E-Notifications:**

Email	
jake.metzger@icfi.com	<input type="button" value="Edit"/>
jennifer.onaga@icfi.com	
patrick.leary@icfi.com	

[Add New](#)

Image 38 (Attorneys of Record)

## Will I be notified that I was added to the Attorneys of Record?

Yes. When you submit a Notice of Appearance (or someone lists you in the Counsel/Representative section of their NOA) you will receive an email notifying you that you were added to the Attorneys of Record for a particular docket (shown in Image 39).

# Federal Trade Commission E-Filing System

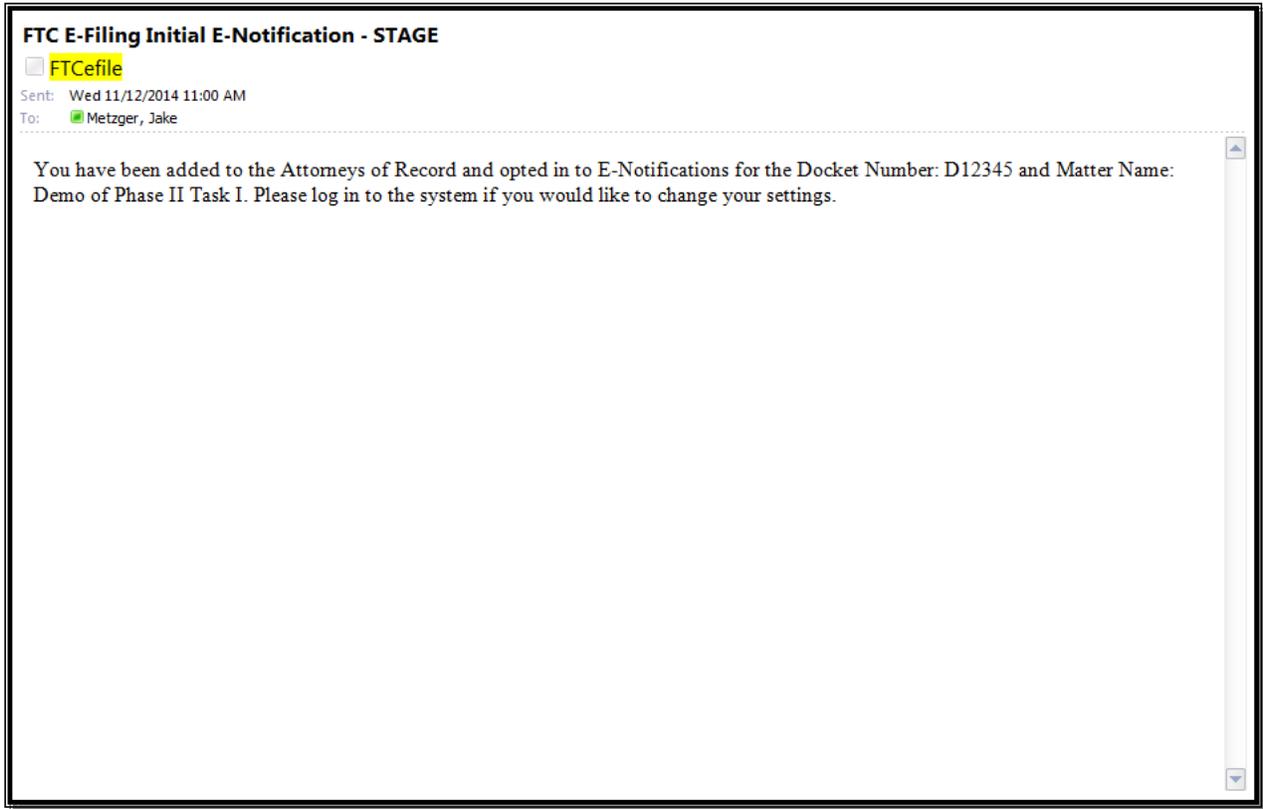


Image 39 (Attorneys of Record Email)

## What if an attorney I added on the Notice of Appearance is not a current user in the system?

If any of the attorneys listed in the Counsel/Representative section of a NOA are not registered users in the E-Filing system they will receive an email notifying them that they were added to the Attorneys of Record for a particular docket and they must register for E-Filing in order to access the documents (shown in Image 40). The attorney receiving this email can only finish their account registration by using the link provided in this email. Furthermore, once they access the registration page using this link they can only register for an account using the email address that received the initial E-Notification email. After the attorney has completed their registration and their NOA has been accepted, they will be added to the Attorneys of Record list and be able to file a document in that particular docket.

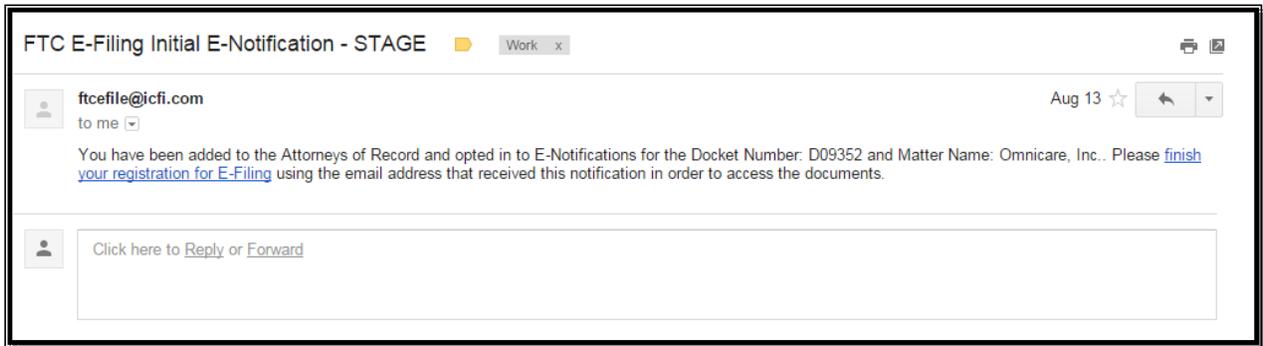


Image 40 (Attorneys of Record Pending Email)

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## Glossary

### *Terms and Conditions to submitting an E-Filing*

Please read all the following information carefully before submitting any E-filing:

1. The E-filing system may be used to file public, in camera, or confidential information with the Commission, and all accepted submissions of public documents become part of the public record.
2. Every page of each attachment to this filing must be clearly and accurately labeled “Public”, “In Camera”, or “Confidential”. Rules 4.2(c)(2), 3.45.
3. Information labeled “In Camera” or “Confidential” must include as an attachment either a motion requesting in camera or other confidential treatment, in the form prescribed by Rule 3.45, or a copy of a Commission, Administrative Law Judge, or federal court order granting such treatment. The document must also include as a separate attachment a set of only those pages of the document on which the in camera or otherwise confidential material appears and comply with all other requirements of Rule 3.45 and any other applicable rules governing in camera treatment.
4. A copy of the proof of service of the filing covered by this form must be included in your e-filing. Rule 4.4(d).
5. The body of the filing covered by this form must be attached to this form in Adobe Portable Document Format (“PDF”). This PDF must be fully text searchable. Each file must be no larger than 150MB. No more than 150MB may be uploaded in a single submission.
6. The filing must be signed and comply with the requirements of Rule 4.2(f). Signing a document constitutes a representation by the signer that he or she has read it; that to the best of his or her knowledge, information, and belief, the statements made in it are true; that it is not interposed for delay; and that to the best of his or her knowledge, information, and belief, it complies with the Commission’s rules in 16 C.F.R. part 4.
7. By checking “I Accept” and pressing the Submit button you are stating and confirming:
  - (a) That you have read and understand all of the foregoing disclosures and procedures; and
  - (b) That all the public information you will place in the form and all public documents that you will attach to the form may become part of the public records of the Commission, and may be placed on the publicly accessible Commission Web site.



## Document Revision History

Date	Version	Description	Author
06/04/2008	1.0	Initial Creation	Asad Khan
09/16/2008	1.1	Updated	Asad Khan
09/25/2010	1.2	Updated	Asad Khan
09/22/2011	1.3	1.0.4.0 & 1.0.4.1	Asad Khan
08/09/2012	1.4	1.0.5.0	Asad Khan
05/22/2014	1.5	1.2, 1.3, 1.3.1, 1.3.2	Jennifer Onaga
9/22/2014	1.6	1.3.3	Jennifer Onaga
1/23/2015	1.7	2.0.0.0	Jake Metzger
3/6/2015	1.8	2.1.1.0	Jake Metzger
5/11/2015	1.9	2.1.3.0	Jake Metzger
6/12/2015	1.10	2.1.4.0	Jake Metzger
2/5/2016	1.11	2.2.0.0	Jake Metzger